

# **STATE PERSONNEL BOARD CALENDAR**



**FEBRUARY 5-6, 2007**

**LOS ANGELES, CALIFORNIA**

**State of California**

**Memorandum**

**DATE:** January 26, 2007

**TO:** ALL INTERESTED PARTIES

**FROM:** STATE PERSONNEL BOARD – Executive Office

**SUBJECT:** Notice and Agenda for the **February 5-6, 2007**, meeting of the State Personnel Board.

PLEASE TAKE NOTICE that on February 5-6, 2007, at **The Westin Los Angeles Airport Hotel, located at 5400 West Century Boulevard – Midway Room, Los Angeles, California 90045**, the State Personnel Board will hold its regularly scheduled meeting. Pursuant to Government Code section 11123, a teleconference location may be conducted for this meeting at 320 W. 4<sup>th</sup> Street, Los Angeles, California.

The attached Agenda provides a brief description of each item to be considered and lists the date and approximate time for discussion of the item.

Also noted is whether the item will be considered in closed or public session. Closed sessions are closed to members of the public. All discussions held in public sessions are open to those interested in attending. Interested members of the public who wish to address the Board on a public session item may request the opportunity to do so.

Should you wish to obtain a copy of any of the items considered in the public sessions for the February 5-6, 2007, meeting, please contact staff in the Secretariat's Office, State Personnel Board, 801 Capitol Mall, MS 52, Sacramento, California 95814 or by calling (916) 653-0429 or TDD (916) 654-2360, or the Internet at:

**<http://www.spb.ca.gov/calendar.htm>**

Should you have any questions regarding this Notice and Agenda, please contact staff in the Secretariat's Office at the address or telephone numbers above.

A handwritten signature in black ink, appearing to read 'Karen Yu', with a stylized flourish at the end.

Karen Yu  
Secretariat's Office

Attachment



**CALIFORNIA STATE PERSONNEL BOARD**

801 Capitol Mall • Sacramento, California 95814 • [www.spb.ca.gov](http://www.spb.ca.gov)

ARNOLD SCHWARZENEGGER, Governor



**CALIFORNIA STATE PERSONNEL BOARD MEETING<sup>1</sup>**

801 Capitol Mall  
Sacramento, California

Public Session Location –

**The Westin Los Angeles Airport Hotel  
5400 West Century Boulevard  
Midway Room  
Los Angeles, CA 90045**

Teleconference – 320 West 4<sup>th</sup> Street<sup>2</sup>  
Los Angeles, California, Suite 620

Closed Session Location –

The Westin Los Angeles Airport Hotel  
5400 West Century Boulevard  
Day 1: Rm 385 / Day 2: Midway Room  
Los Angeles, CA 90045

Teleconference – 320 West 4<sup>th</sup> Street  
Los Angeles, California Suite 620

**TWO DAY FULL BOARD MEETING – FEBRUARY 5-6, 2007**

<sup>1</sup> Sign Language Interpreter will be provided for Board Meeting upon request - contact Secretariat at (916) 653-0429, or CALNET 453-0429, TDD (916) 654-2360.

<sup>2</sup>Pursuant to Government Code section 11123, a teleconference location may be conducted for this meeting at 320 West 4<sup>th</sup> Street, Los Angeles, California.

**TWO DAY FULL BOARD MEETING AGENDA<sup>3</sup>**

**DAY ONE – FEBRUARY 5, 2007**

2:00 p.m. – 7:00 p.m.  
(or upon completion of business)

PLEASE NOTE: ALL TIMES ARE APPROXIMATE AND ARE SUBJECT TO CHANGE

**CLOSED SESSION OF THE STATE PERSONNEL BOARD**

**(2:00 p.m. – 7:00 p.m.)**

**1. ROLL CALL**

**2. EMPLOYEE PERSONNEL MATTER**

Deliberation to consider the appointment and employment of Executive Officer candidates. [Government Code section 1126(a)(1).]

**A D J O U R N M E N T**

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<sup>3</sup> The Agenda for the Board Meeting can be obtained at the following internet address:  
<http://www.spb.ca.gov/calendar.htm>

**DAY TWO – FEBRUARY 6, 2007**

9:00 a.m. – 2:00 p.m.  
(or upon completion of business)

**PUBLIC SESSION OF THE STATE PERSONNEL BOARD**

**(9:00 a.m. – 9:30 a.m.)**

1. **ROLL CALL**
2. **REPORT OF THE EXECUTIVE OFFICER – Floyd D. Shimomura**
3. **REPORT OF THE CHIEF COUNSEL – Elise Rose**
4. **NEW BUSINESS**

Items may be raised by Board Members for scheduling and discussion for future meetings.

5. **REPORT ON LEGISLATION – Sherry Evans**

The Board may be asked to adopt a position with respect to the bills listed on the legislation memorandum attached hereto.

**(9:30 a.m. – 10:00 a.m.)**

6. **ORAL ARGUMENT**

In the matter of **CASE NO. 05-0053A**. Appeal from dismissal.  
Park Maintenance Assistant. Department of Parks and Recreation.

**CLOSED SESSION OF THE STATE PERSONNEL BOARD**

**(10:00 a.m. – 10:15 a.m.)**

7. **EMPLOYEE APPOINTMENTS, DISCIPLINARY MATTERS, AND OTHER APPEALS**

Deliberations to consider matter submitted at prior hearing.  
[Government Code Sections 11126(d), 18653.]

**PUBLIC SESSION OF THE STATE PERSONNEL BOARD**

**(10:15 a.m. – 10:45 a.m.)**

**8. STAFF SERVICES ANALYST EXAMINATION: WHERE WE HAVE BEEN AND WHERE WE ARE GOING**

SPB staff will provide historical information regarding testing strategies for the Staff Service Analyst classification, discuss current challenges, and suggest future improvements.

**(10:45 a.m. – 11:00 a.m.)**

**9. CHIEF ADMINISTRATIVE LAW JUDGE, SPB (CEA)**

The Executive Officer requests that the Board consider the pros and cons and render a decision regarding the establishment of a Chief Administrative Law Judge, SPB (CEA) position.

**CLOSED SESSION OF THE STATE PERSONNEL BOARD**

**(11:00 a.m. – 11:30 a.m.)**

**10. EMPLOYEE APPOINTMENTS, DISCIPLINARY MATTERS, AND OTHER APPEALS**

Deliberations to consider matter submitted at prior hearing.  
[Government Code Sections 11126(d), 18653.]

**11. DELIBERATION ON ADVERSE ACTIONS, DISCRIMINATION COMPLAINTS, AND OTHER PROPOSED DECISIONS SUBMITTED BY ADMINISTRATIVE LAW JUDGES**

Deliberations on matters submitted at prior hearing; on proposed, rejected, remanded, and submitted decisions; petitions for rehearing; and other matters related to cases heard by administrative law judges of the State Personnel Board or by the Board itself. [Government Code Sections 11126 (d), and 18653 (2).]

**12. PENDING LITIGATION**

Conference with legal counsel to confer with and receive advice regarding pending litigation when discussion in open session would be prejudicial.  
[Government Code sections 11126(e)(1) and 18653.]

Patrick McCollum v. State of California  
United States District Court, Northern District of California  
Case No. C 04-03339 CRB

Plata, et al. v. Schwarzenegger, et al.  
Case No. C01-1351 TEH

**13. RECOMMENDATIONS TO THE LEGISLATURE**

Deliberations on recommendations to the legislature.  
[Government Code section 18653.]

**14. RECOMMENDATIONS TO THE GOVERNOR**

Deliberations on recommendations to the Governor.  
[Government Code section 18653.]

**PUBLIC SESSION OF THE STATE PERSONNEL BOARD**

**(11:30 a.m. – 12:00 p.m.)**

**15. DISCUSSION OF UPCOMING BOARD MEETING SCHEDULE OF  
FEBRUARY 20, 2007, IN SACRAMENTO, CALIFORNIA**

**BOARD ACTIONS:**

**16. ADOPTION OF THE STATE PERSONNEL BOARD SUMMARY MINUTES OF  
JANUARY 9, 2007**

**17. EVIDENTIARY CASES – (See Case Listings on Page 11–17)**

**18. RESOLUTION EXTENDING TIME UNDER GOVERNMENT CODE  
SECTION 18671.1 EXTENSION – (See Agenda Page 24–25)**

**19. NON-EVIDENTIARY CASES – (See Case Listings on Page 17–20)**

**20. NON-HEARING CALENDAR**

The following proposals are made to the State Personnel Board by either the Board staff or Department of Personnel Administration staff. It is anticipated that the Board will act on these proposals without a hearing.

Anyone with concerns or opposition to any of these proposals should submit a written notice to the Executive Officer clearly stating the nature of the concern or opposition. Such notice should explain how the issue in dispute is a merit employment matter within the Board's scope of authority as set forth in the State Civil Service Act (Government Code section 18500 et seq.) and Article VII, California Constitution. Matters within the Board's scope of authority include, but are not limited to, personnel selection, employee status, discrimination and affirmative action. Matters outside the Board's scope of authority include, but are not limited to, compensation, employee benefits, position allocation, and organization structure. Such notice must be received not later than close of business on the Wednesday before the Board meeting at which the proposal is scheduled. Such notice from an exclusive bargaining representative will not be entertained after this deadline, provided the representative has received advance notice of the classification proposal pursuant to the applicable memorandum of understanding. In investigating matters outlined above, the Executive Officer shall act as the Board's authorized representative and recommend the Board either act on the proposals as submitted without a hearing or schedule the items for a hearing, including a staff recommendation on resolution of the merit issues in dispute.

**A. BOARD ITEMS PRESENTED BY STATE PERSONNEL BOARD OR DEPARTMENT OF PERSONNEL ADMINISTRATION TO ESTABLISH, REVISE OR ABOLISH CLASSIFICATIONS, ALTERNATE RANGE CRITERIA, ETC.**

**NONE**

**B. ABOLISHMENT OF CLASSES THAT HAVE HAD NO INCUMBENTS FOR MORE THAN TWO YEARS. DEPARTMENTS THAT UTILIZE THE CLASS AS WELL AS THE APPROPRIATE UNION HAVE NO OBJECTION TO THE ABOLISHMENT OF THESE CLASSES.**

**THE DEPARTMENT OF PERSONNEL ADMINISTRATION AND STATE PERSONNEL BOARD** propose to abolish the following classifications which have been vacant for more than two years and have been designated Footnote 24, which specifies that a classification will be abolished when it becomes vacant.

**NONE PRESENTED**

**21. STAFF CALENDAR ITEMS FOR BOARD INFORMATION**

**FINANCE PROGRAM EVALUATOR**

The Department of Finance (DOF) has proposed revisions to the Finance Program Evaluator Series.



**22. CAREER EXECUTIVE ASSIGNMENT (CEA) CATEGORY ACTIVITY**

This section of the Agenda serves to inform interested individuals and departments of proposed and approved CEA position actions.

The first section lists position actions that have been proposed and are currently under consideration.

Any parties having concerns with the merits of a proposed CEA position action should submit their concerns in writing to the Classification and Compensation Division of the Department of Personnel Administration, the Merit Employment and Technical Resources Division of the State Personnel Board, and the department proposing the action.

To assure adequate time to consider objections to a CEA position action, issues should be presented immediately upon receipt of the State Personnel Board Agenda in which the proposed position action is noticed as being under consideration, and generally no later than a week to ten days after its publication.

In cases where a merit issue has been raised regarding a proposed CEA position action and the dispute cannot be resolved, a hearing before the five-member Board may be scheduled. If no merit issues are raised regarding a proposed CEA position action, and it is approved by the State Personnel Board, the action becomes effective without further action by the Board.

The second section of this portion of the Agenda reports those position actions that have been approved. They are effective as of the date they were approved by the Executive Officer of the State Personnel Board.

**A. REQUESTS TO ESTABLISH NEW OR REVISE EXISTING CEA POSITIONS CURRENTLY UNDER CONSIDERATION**

**CHIEF, PROVIDER ENROLLMENT DIVISION, MEDICAL SERVICES DIVISION (MCS)**

The Department of Health Services proposes to allocate the above position to the CEA category. The Chief, Provider Enrollment Division is the principal policy-maker and advisor to the Deputy Director and Assistant Deputy Director, MCS regarding issues with significant policy impact on providers to the citizens, and amongst various beneficiary and provider groups.

**DEPUTY DIRECTOR, UNEMPLOYMENT INSURANCE MODERNIZATION (UIMOD) PROJECT**

The California Health and Human Services Agency, Office of Systems Integration (OSI) requests approval to allocate the above position to the CEA category on a permanent basis. The Deputy Director, UIMOD was approved by SPB to the CEA category for a limited term of two years effective March 4, 2004. The Deputy Director, UIMOD is responsible for advising and assisting the Director in formulating, implementing and administering policies for the UIMOD Project.

**CHIEF INFORMATION OFFICER**

The Department of Technology Services (DTS) proposes to allocate the above position to the CEA category. The Chief Information Officer provides vision, recommends policy setting strategies and directs efforts to continually ensure that all departmental systems and tools necessary to cost effectively support the delivery of DTS services to its customer base are maintained, upgraded and evolve to meet the changing demographics of service demands and mix.

**DEPUTY DIRECTOR, OPERATIONS DIVISION**

The Department of Child Support Services (DCSS) proposes to allocate the above position to the CEA category. The Deputy Director, Operations Division is responsible for the effective formulation, implementation and evaluation of all operational policies and procedures pertaining to the department's statewide child support collections and disbursement activities.

**B. EXECUTIVE OFFICER DECISIONS REGARDING REQUESTS TO ESTABLISH NEW OR REVISE EXISTING CEA POSITIONS**

**CHIEF COUNSEL**

The Public Utilities Commission, Division of Ratepayer Advocate's proposal to allocate the above position to the CEA category was approved effective January 8, 2007.

**ASSISTANT EXECUTIVE OFFICER, SURFACE WATER PROGRAMS**

The State Water Resources Control Board's request on behalf of the Regional Water Quality Control Board, San Francisco, to allocate the above position to the CEA category was approved effective January 8, 2007.

**ASSISTANT EXECUTIVE OFFICER, GROUNDWATER AND ADMINISTRATIVE SERVICES PROGRAMS**

The State Water Resources Control Board's request on behalf of the Regional Water Quality Control Board, San Francisco, to allocate the above position to the CEA category was approved effective January 8, 2007.

**CHIEF, OFFICE OF PERFORMANCE IMPROVEMENT AND LONG TERM PLANNING**

The Department of Toxic Substances Control has withdrawn the proposal to allocate the above position to the CEA category effective January 12, 2007.

**CHIEF, BENEFITS AND RATES DIVISION, MEDICAL CARE SERVICES (MCS)**

The California Department of Health Service's request to allocate the above position to the CEA category has been approved effective January 16, 2007.

**CHIEF, OFFICE OF HEALTH INFORMATION PORTABILITY AND  
ACCOUNTABILITY ACT (HIPAA) COMPLIANCE (OHC)**

The California Department of Health Service's request to allocate the above position to the CEA category has been approved effective January 16, 2007.

**CHIEF, MEDICAL ELIGIBILITY DIVISION**

The California Department of Health Service's request to allocate the above position to the CEA category has been approved effective January 16, 2007.

**CHIEF, HOSPITAL AND FEDERAL CLAIMING DIVISION**

The California Department of Health Service's request to allocate the above position to the CEA category has been approved effective January 16, 2007.

**23. EMPLOYEE APPOINTMENTS, DISCIPLINARY MATTERS, & OTHER APPEALS**

Deliberations to consider matter submitted at prior hearing. [Government Code sections 11126(d), 18653.]

**24. WRITTEN STAFF REPORT FOR BOARD INFORMATION**

**NONE PRESENTED**

**25. PRESENTATION OF EMERGENCY ITEMS AS NECESSARY**

**26. BOARD ACTIONS ON SUBMITTED ITEMS – (See Agenda Pages 21–23)**

These items have been taken under submission by the State Personnel Board at a prior meeting and may be before the Board for a vote at this meeting. This list does not include evidentiary cases, as those are listed separately by category on this agenda under Evidentiary Cases.

**LUNCH**

**(12:00 p.m. – 1:00 p.m.)**

**CLOSED SESSION OF THE STATE PERSONNEL BOARD**

**(1:00 p.m. – 2:00 p.m.)**

**27. EMPLOYEE PERSONNEL MATTER**

Deliberation to consider the appointment and employment of Executive Officer candidates. [Government Code section 1126(a)(1).]

**A D J O U R N M E N T**

## 17. EVIDENTIARY CASES

The Board Administrative Law Judges conduct evidentiary hearings in appeals that include, but are not limited to, adverse actions, medical terminations, demotions, discrimination, reasonable accommodations, and whistleblower complaints.

### A. BOARD CASES SUBMITTED

These items have been taken under submission by the State Personnel Board at a prior meeting. Cases that are before the Board for vote will be provided under separate cover.

#### (1) **CASE NO. 05-3030A**

Appeal from constructive demotion

**Classification:** Officer Technician

**Department:** Department of Developmental Services

Proposed decision rejected May 2, 2006.

Transcript prepared.

Pending oral argument August 8, 2006, Los Angeles.

Oral argument continued.

Pending oral argument October 31, 2006, Sacramento.

Oral argument heard October 31, 2006.

Case ready for decision by FULL Board.

#### (2) **CASE NO. 06-1433**

Appeal from official reprimand

**Classification:** Correctional Officer

**Department:** Department of Corrections and Rehabilitation

Proposed decision taken under submission December 5, 2006.

#### (3) **CASE NO. 05-1875A**

Appeal from rejection during probationary period

**Classification:** Equipment Material Specialist

**Department:** Department of Transportation

Proposed decision rejected August 8, 2006.

Transcript prepared.

Pending oral argument October 31, 2006, Los Angeles.

Oral argument heard October 31, 2006.

Case ready for decision by FULL Board.

- (4) **CASE NO. 05-1567A**  
Appeal from dismissal  
**Classification:** Housing Finance Specialist (General)  
**Department:** California Housing Finance Agency  
  
Proposed decision rejected July 11, 2006.  
Transcript prepared.  
Pending oral argument October 31-November 1, 2006, San Diego.  
Oral argument continued.  
Pending oral argument December 5, 2006, San Francisco.  
Oral argument heard December 5, 2006.  
Case ready for decision by FULL Board.
- (5) **CASE NO. 06-1310**  
Appeal from 14 working days suspension  
**Classification:** Regional Administrator  
**Department:** Department of Corrections and Rehabilitation  
  
Proposed decision taken under submission December 5, 2006.
- (6) **PSC NO. 06-02**  
Appeal from Executive Officer's June 28, 2006 approval of the  
Department of Corrections and Rehabilitation Personal Services  
Contracts for Psychological Services.  
**Department:** Department of Corrections and Rehabilitation  
**Employee Organization:** AFSCME, Local 2620, AFL-CIO  
  
Oral argument heard January 9, 2007.  
Case ready for decision by FULL Board.
- (7) **PSC NO. 06-04**  
Appeal from Executive Officer's August 15, 2006 disapproval  
of a Personal Services Contract for Hearing Reporter  
Transcription Services.  
**Department:** California Air Resources Board  
  
Oral argument heard January 9, 2007.  
Case ready for decision by FULL Board.

**B. CASES PENDING**

**ORAL ARGUMENTS**

These cases are on calendar to be argued at this meeting or to be considered by the Board in closed session based on written arguments submitted by the parties.

- (1) **CASE NO. 05-0053A**  
Appeal from dismissal  
**Classification:** Park Maintenance Assistant  
**Department:** Department of Parks and Recreation

**C. CHIEF COUNSEL RESOLUTIONS**

- (1) **CASE NO. 06-0892**  
Appeal from suspension  
**Classification:** Correctional Sergeant  
**Department:** Department of Corrections and Rehabilitation  
Request to Vacate Stipulated Agreement.
- (2) **CASE NO. 04-0661**  
Appeal from dismissal  
**Classification:** Business Taxes Compliance Specialist  
**Department:** Department of Equalization  
Request for Order to Show Cause Against the Board of Equalization.

**COURT REMANDS**

This case has been remanded to the Board by the court for further Board action.

**NONE**

**STIPULATIONS**

These stipulations have been submitted to the Board for Board approval, pursuant to Government Code, section 18681.

**NONE**

**D. ADMINISTRATIVE LAW JUDGE'S (ALJ) PROPOSED DECISIONS**

**PROPOSED DECISIONS**

These are ALJ proposed decisions submitted to the Board for the first time.

- (1) **CASE NO. 06-3021**  
Appeal from 20 working days suspension  
**Classification:** Officer  
**Department:** Department of California Highway Patrol
- (2) **CASE NO. 06-1635**  
Appeal from dismissal  
**Classification:** Transportation Engineer (Civil)  
**Department:** Department of Transportation

- (3) **CASE NO. 04-0282**  
Appeal from demotion  
**Classification:** Associate Tax Auditor  
**Department:** Board of Equalization
- (4) **CASE NO. 06-2620**  
Appeal from ten percent reduction in salary for 24 months  
**Classification:** Psychiatric Technician  
**Department:** Department of Corrections and Rehabilitation
- (5) **CASE NO. 06-2794**  
Appeal from 49 workday's suspension  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation
- (6) **CASE NO. 06-2097**  
Appeal from ten percent reduction in salary for six months  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation
- (7) **CASE NO. 05-3783**  
Appeal from 20 working days suspension  
**Classification:** Motor Vehicle Field Representative  
**Department:** Department of Motor Vehicles

**Proposed Decisions Taken Under Submission At Prior Meeting**

These are ALJ proposed decisions taken under submission at a prior Board meeting, for lack of majority vote or other reason.

**NONE**

**PROPOSED DECISIONS AFTER BOARD REMAND**

**NONE**

**PROPOSED DECISIONS AFTER SPB ARBITRATION**

**NONE**

**E. PETITIONS FOR REHEARING**

**ALJ PROPOSED DECISIONS ADOPTED BY THE BOARD**

The Board will vote to grant or deny a petition for rehearing filed by one or both parties, regarding a case already decided by the Board.



- (1) **CASE NO. 06-0822P**  
Appeal from dismissal  
**Classification:** Transportation Engineer (Civil)  
**Department:** Department of Transportation

**WHISTLEBLOWER NOTICE OF FINDINGS**

The Board will vote to grant or deny a petition for rehearing filed by one or both parties, regarding a Notice of Findings issued by the Executive Officer under Government Code, section 19682 et seq. and Title 2, California Code of Regulations, section 56 et seq.

**NONE**

**F. PENDING BOARD REVIEW**

These cases are pending preparation of transcripts, briefs, or the setting of oral argument before the Board.

- (1) **CASE NO. 05-1007EA**  
Appeal from denial of discrimination complaint  
**Classification:** Outside contractor  
**Department:** Department of Transportation  
  
Proposed decision rejected December 19, 2006.
- (2) **CASE NO. 05-0053A**  
Appeal from dismissal  
**Classification:** Park Maintenance Assistant  
**Department:** Department of Parks and Recreation  
  
Proposed decision rejected October 10, 2006.  
Transcript prepared.  
Pending oral argument February 5-6, 2007, Los Angeles.
- (3) **CASE NO. 06-0760A**  
Appeal from rejection during probation  
**Classification:** Parole Agent I (Adult Parole)  
**Department:** Department of Corrections and Rehabilitation  
  
Proposed decision rejected November 14, 2006.  
Transcript prepared.  
Pending oral argument February 5-6, 2007, Los Angeles.  
Oral argument continued.

- (4) **CASE NO. 06-0235A**  
Appeal from dismissal  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation  
  
Proposed decision rejected January 9, 2007.  
Pending transcript.
- (5) **CASE NO. 05-2211A**  
Appeal from dismissal  
**Classification:** Senior Tax Compliance Representative  
**Department:** Employment Development Department  
  
Proposed decision rejected September 20, 2006.  
Transcript prepared.  
Pending oral argument February 5-6, 2007, Los Angeles.  
Oral argument continued  
Pending oral argument March 6-7, 2007, Sacramento.
- (6) **CASE NO. 05-2888PA**  
Appeal from dismissal  
**Classification:** Staff Services Analyst (General)  
**Department:** Department of Consumer Affairs  
  
Petition for rehearing granted October 31, 2006.  
Transcript prepared.  
Pending oral argument March 6-7, 2007, Sacramento.
- (7) **CASE NO. 05-1285A**  
Appeal from dismissal  
**Classification:** Public Safety Dispatcher II  
**Department:** Department of California Highway Patrol  
  
Proposed decision rejected January 9, 2007.  
Pending transcript.
- (8) **CASE NO. 05-1067A**  
Appeal from dismissal  
**Classification:** Investigator  
**Department:** Department of Motor Vehicles  
  
Proposed decision rejected January 9, 2007.  
Pending transcript.

- (9) **CASE NO. 04-2919ERPA**  
Appeal of discrimination and retaliation  
**Classification:** Physician and Surgeon  
**Department:** Department of Corrections and Rehabilitation  
  
Petition for rehearing granted September 20, 2006.  
Transcript prepared.  
Pending oral argument February 6-7, 2007, Los Angeles.  
Oral argument continued.
- (10) **CASE NO. 05-0927BA**  
Appeal for back salary determination  
**Classification:** Correctional Sergeant  
**Department:** Department of Corrections and Rehabilitation  
  
Proposed decision rejected December 5, 2006.  
Transcript prepared.
- (11) **CASE NO. 05-4416PA**  
Appeal from 10 percent reduction in salary for 13 pay periods  
**Classification:** Medical Technical Assistant (Correctional Facility)  
**Department:** Department of Corrections and Rehabilitation  
  
Petition for rehearing granted November 14, 2006.  
Transcript prepared.
- (12) **CASE NO. 06-0392A**  
Appeal of five percent reduction in salary for 24 months  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation  
  
Proposed decision rejected October 31, 2006.  
Transcript prepared.  
Pending oral argument March 6-7, 2007, Sacramento.

## 19. NON-EVIDENTIARY CASES

### A. WITHHOLD APPEALS

Cases heard by a Staff Hearing Officer, a managerial staff member of the State Personnel Board or investigated by Appeals Division staff. The Board will be presented recommendations by a Staff Hearing Officer or Appeals Division staff for final decision on each appeal.

### WITHHOLD FROM CERTIFICATION CASES HEARD BY A STAFF HEARING OFFICER

NONE

**WITHHOLD FROM CERTIFICATION**  
**CASES NOT HEARD BY A STAFF HEARING OFFICER**

- (1) **CASE NO. 05-3635**  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation  
**Issue:** Suitability; firearms restriction.
- (2) **CASE NO. 05-3645**  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation  
**Issue:** Suitability; a felony conviction.
- (3) **CASE NO. 05-2200**  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation  
**Issue:** Suitability; a felony conviction.
- **CASE NO. 06-2603N**  
**Classification:** Youth Correctional Officer  
**Department:** Department of Corrections and Rehabilitation

**B. MEDICAL AND PSYCHOLOGICAL SCREENING APPEALS**

Cases heard by a Staff Hearing Panel comprised of a managerial staff member of the State Personnel Board and a medical professional. The Board will be presented recommendations by a Hearing Panel on each appeal.

- (1) **CASE NO. 05-1969**  
**Classification:** Communications Operator  
**Department:** Department of Parks & Recreation  
**Issue:** The SPB State Medical Officer finds the appellant's hearing does not meet the hearing standards required to perform the duties of the job without reasonable accommodation.
- **CASE NO. 06-2720N**  
**Classification:** Highway Patrol Officer  
**Department:** California Highway Patrol
- **CASE NO. 06-3031N**  
**Classification:** Correctional Officer  
**Department:** Department of Corrections and Rehabilitation
- **CASE NO. 06-1967**  
**Classification:** Special Agent, DOJ  
**Department:** Department of Justice

- **CASE NO. 04-1855N**  
**Classification:** Fire Fighter I  
**Department:** Forestry and Fire Protection
- **CASE NO. 06-3973N**  
**Classification:** Highway Patrol Officer  
**Department:** California Highway Patrol

**C. EXAMINATION APPEALS**  
**MINIMUM QUALIFICATIONS**  
**MERIT ISSUE COMPLAINTS**

Cases heard by a Staff Hearing Officer, a managerial staff member of the State Personnel Board or investigated by Appeals Division staff. The Board will be presented recommendations by a Staff Hearing Officer or Appeals Division staff for final decision on each appeal.

**NONE**

**D. RULE 211 APPEALS**  
**RULE 212 OUT OF CLASS APPEALS**  
**VOIDED APPOINTMENT APPEALS**

Cases heard by a Staff Hearing Officer, or a managerial staff member of the State Personnel Board. The Board will be presented recommendations by a Staff Hearing Officer for final decision on each appeal.

**RULE 211 APPEALS**

- (1) **CASE NO. 06-0706N**  
**Classification:** Employment Program Representative  
**Department:** Employment Development Department  
**Issue:** Pursuant to Rule 211, the appellant is requesting approval from the SPB's Executive Officer to take State examinations after having been dismissed from State service.
- (2) **CASE NO. 05-4224**  
**Classification:** California State Civil Service Examinations  
**Department:** State Personnel Board  
**Issue:** Pursuant to Rule 211, the appellant is requesting approval from the SPB's Executive Officer to take State examinations after having been dismissed from State service.

**RULE 212 OUT OF CLASS APPEALS**

**NONE**

**VOIDED APPOINTMENT APPEALS**

**(3) CASE NO. 05-2860**

**Classification:** Correctional Sergeant

**Department:** Department of Corrections and Rehabilitation

**Issue:** Was the appointment of the appellant properly voided based on the fact that the appellant did not have eligibility to transfer to CS at CDCR.

**E. REQUEST TO FILE CHARGES CASES**

Investigated by Appeals Division staff. The Board will be presented recommendations by Appeals Division staff for final decision on each request.

**NONE**

**PETITIONS FOR REHEARING CASES**

**NONE**

**SUBMITTED**

**1. TEACHER STATE HOSPITAL (SEVERELY), ETC.**

Departments of Mental Health and Developmental Services. (Hearing held December 3, 2002.)

**2. VOCATIONAL INSTRUCTOR (SAFETY) (VARIOUS SPECIALTIES)**

Departments of Mental Health and Developmental Services. (Hearing held December 3, 2002.)

**3. TELEVISION SPECIALIST (SAFETY)**

The Department of Corrections proposes to establish the new classification Television Specialist (Safety) by using the existing Television Specialist class specification and adding "Safety" as a parenthetical to recognize the public aspect of their job, additional language will be added to the Typical Tasks section of the class specification and a Special Physical Characteristics section will be added. (Presented to Board March 4, 2003.)

**4. HEARING – Personal Services Contract #04-03**

Appeal of the California State Employees Association from the Executive Officer's April 15, 2004, Approval of Master Contracts between the California Department of Corrections and Staffing Solutions, CliniStaff, Inc., Staff USA, Inc., CareerStaff Unlimited, MSI International, Inc., Access Medical Staffing & Service, Drug Consultants, Infinity Quality Services Corporation, Licensed Medical Staffing, Inc., Morgan Management Services, Inc., Asereth Medical Services, and PrideStaff dba Rx Relief. (Hearing held August 12, 2004.)

**5. HEARING**

Proposed new and revised State Personnel Board Regulations effecting equal opportunity, discrimination complaints and reasonable accommodation policies and procedures. (Hearing held July 7, 2004.)

**6. CASE NO. 05-3030A**

Appeal constructive demotion. Office Technician. Department of Developmental Services. (Oral argument held October 31, 2006.)

**7. CASE NO. 05-1875A**

Appeal from rejection during probationary period. Equipment Material Specialist. Department of Transportation. (Oral argument held October 31, 2006.)

**8. CASE NO. 05-0947A**

Appeal from dismissal. Housing Finance Specialist (General). California Housing Finance Agency. (Oral argument held December 5, 2006.)

**9. CASE NO. 06-1814**

Appeal from official letter of reprimand. Correctional Officer. Department of Corrections and Rehabilitation. (Presented to Board December 5, 2006.)

**10. CASE NO. 06-1310**

Appeal from 14 working days' suspension. Regional Administrator. Department of Corrections and Rehabilitation. (Presented to Board December 5, 2006.)

**11. CASE NO. 05-1975**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**12. CASE NO. 05-1466**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**13. CASE NO. 05-1977**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**14. CASE NO. 05-1029**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**15. CASE NO. 05-2290**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**16. CASE NO. 05-1169**

Correctional Officer. Department of Corrections and Rehabilitation. Suitability; whether appellant's name was properly withheld for one DUI conviction. (Presented to Board December 5, 2006.)

**17. CASE NO. 05-1681**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)



**18. CASE NO. 05-1170**

Correctional Officer. Department of Corrections & Rehabilitation. Suitability; whether appellant's name was properly withheld for DUI convictions. (Presented to Board December 5, 2006.)

**19. PSC NO. 06-02**

Appeal of AFSCME, Local 2620, AFL-CIO, from the Executive Officer's June 28, 2006, Approval of the Department of Corrections and Rehabilitation Personal Services Contracts for Psychological Services. (Oral argument held January 9, 2007.)

**20. PSC NO. 06-04**

Appeal of California Air Resources Board, from the Executive Officer's August 15, 2006, Disapproval of a Personal Services Contract for Hearing Reporter Transcription Services. (Oral argument held January 9, 2007.)

**NOTICE OF GOVERNMENT CODE SECTION 18671.1 RESOLUTION**

Since Government Code section 18671.1 requires that cases pending before State Personnel Board Administrative Law Judges (ALJ's) be completed within six months or no later than 90 days after submission of a case, whichever is first, absent the publication of substantial reasons for needing an additional 45 days, the Board hereby publishes its substantial reasons for the need for the 45-day extension for some of the cases now pending before it for decision.

An additional 45 days may be required in cases that require multiple days of hearings, that have been delayed by unusual circumstances, or that involve any delay generated by either party (including, but not limited to, submission of written briefs, requests for settlement conferences, continuances, discovery disputes, pre-hearing motions). In such cases, six months may be inadequate for the ALJ to hear the entire case, prepare a proposed decision containing the detailed factual and legal analysis required by law, and for the State Personnel Board to review the decision and adopt, modify or reject the proposed decision within the time limitations of the statute.

Therefore, at its next meeting, the Board will issue the attached resolution extending the time limitation by 45 days for all cases that meet the above criteria, and that have been before the Board for less than six months as of the date of the Board meeting.

**GOVERNMENT CODE SECTION 18671.1 RESOLUTION**

**WHEREAS**, Section 18671.1 provides that, absent waiver by the appellant, the time period in which the Board must render its decision on a petition pending before it shall not exceed six months from the date the petition was filed or 90 days from the date of submission; and

**WHEREAS**, Section 18671.1 also provides for an extension of the time limitations by 45 additional days if the Board publishes substantial reasons for the need for the extension in its calendar prior to the conclusion of the six-month period; and

**WHEREAS**, the Agenda for the instant Board meeting included an item titled "Notice of Government Code section 18671.1 Resolution" which sets forth substantial reasons for utilizing that 45-day extension to extend the time to decide particular cases pending before the Board;

**WHEREAS**, there are currently pending before the Board cases that have required multiple days of hearing and/or that have been delayed by unusual circumstances or by acts or omissions of the parties themselves;

**NOW, THEREFORE, BE IT RESOLVED AND ORDERED** that the time limitations set forth in Government Code section 18671.1 are hereby extended an additional 45 days for all cases that have required multiple days of hearing or that have been delayed by acts or omissions of the parties or by unusual circumstances and that have been pending before the Board for less than six months as of the date this resolution is adopted.

\* \* \* \* \*



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(Cal. 02/5-6/07)

TO: Members  
State Personnel Board

FROM: State Personnel Board - Legislative Office

SUBJECT: LEGISLATION

The status of major legislation being followed for impact on Board programs and the general administration of the State Civil Service Merit System is detailed in the attached report.

Any legislative action that takes place after the printing of this report, which requires discussion with the Board, will be covered during the Board meeting.

Please contact me directly should you have any questions or comments regarding any bills that you may have an interest in. I can be reached at (916) 653-0453.

A handwritten signature in cursive script that reads 'Sherry A. Evans'.

Sherry A. Evans  
Director of Legislation

Attachment

**STATE PERSONNEL BOARD  
LEGISLATIVE TRACKING  
REPORT  
2007-08 SESSION**

**Status as of January 25, 2007**



BILL/ AUTHOR	BOARD POSITION	SUBJECT	STATUS OF BILL
<a href="#">AB 67</a> (Dymally)	SUPPORT	AB 67 amends the provisions contained in the Dymally-Alatorre Bilingual Services Act (Act) that require state agencies to conduct a biennial language survey and implementation plan and employ qualified bilingual staff when a significant language need is identified. The amendments proposed by this Bill standardize and define language in the Act, clarify the State Personnel Board's (SPB's) responsibility to establish bilingual fluency standards, and expand the SPB's ability to grant exemptions to the language survey and implementation plan.	12/05/2006-From printer. May be heard in committee January 4. 12/04/2006-A PRINT
<a href="#">AB 147</a> (Wolk)		Would state the intent of the Legislature to enact legislation that would assist with the implementation and enforcement of the Americans with Disabilities Act of 1990.	01/18/2007-From printer. May be heard in committee February 17. 01/17/2007-A PRINT
<a href="#">SB 26</a> (Simitian)		This bill would require that demographic data collection by race be structured in a manner that allows the surveyed individual to select more than one race. A single category labeled "multi-racial" would be prohibited.	01/18/2007-To Coms. on G.O. and JUD. 01/18/2007-S G.O.

**STATE PERSONNEL BOARD**

**NON-HEARING CALENDAR**

**RE: BOARD DATE FEBRUARY 5-6, 2007**

(Cal. 2/5-6/07)

**MEMO TO :** STATE PERSONNEL BOARD

**FROM :** KAREN COFFEE, Chief, Merit Employment and  
Technical Resources Division

**SUBJECT :** Non-Hearing Calendar Items for Board Action

**NONE PRESENTED**



(Cal. 2/5-6/07)

**MEMO TO** : STATE PERSONNEL BOARD

**FROM** : KAREN COFFEE, Chief, Merit Employment and  
Technical Resources Division

**SUBJECT** : Staff Calendar Items for Board Information

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**FINANCE PROGRAM EVALUATOR**

The Department of Finance (DOF) has proposed revisions  
to the Finance Program Evaluator Series.

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## CALIFORNIA STATE PERSONNEL BOARD

ARNOLD SCHWARZENEGGER, Governor

801 Capitol Mall • Sacramento, California 95814 • www.spb.ca.gov



TO: State Personnel Board

FROM: Floyd Shimomura, Executive Officer  
California State Personnel Board

**PROPOSED ACTION:**

The Department of Finance (DOF) proposes that the attached classification revisions to the Finance Program Evaluator class series be adopted.

**BACKGROUND:**

At the request of the DOF at the January 9, 2007 State Personnel Board (SPB) Meeting, the Five Member State Personnel Board (Board) has granted the authority to the SPB Executive Officer to review and make a determination on DOF's proposed changes to the Finance Program Evaluator series specification.

DOF is proposing the following revisions to the Finance Program Evaluator series, and has requested that the changes be made effective January 9, 2007: re-titling the class series; establishment of Financial and Performance Evaluator I, Department of Finance deep class with a 12-month probationary period; reallocation of incumbents to the new deep class; establishment of Alternative Range Criteria 447; the abolishment of the Finance Program Evaluator deep class, and proposed abolishment of Alternative Range Criteria 400. Revisions to the Finance Program Evaluator series are based on data collected by DOF in a job analysis. The Department of Personnel Administration (DPA) supports the proposed changes.

**APPROVAL:**

**SPB Executive Officer Signature:**

*Floyd D. Shimomura*

**Effective Date:** January 17, 2007

January 9, 2007

**TO:** Floyd Shimomura, Executive Officer  
STATE PERSONNEL BOARD

**FROM:** Debbie Chambliss, Chief Administrative Services  
Department of Finance

**REVIEWED BY:** Adria L. Jones, Selection Services Manager  
Department of Finance

**SUBJECT:** Proposed title change and specification revision for the classes appearing in the Finance Program Evaluator series specification; proposed establishment of Financial and Performance Evaluator I, Department of Finance deep class with a 12-month probationary period, reallocation of incumbents to the new deep class, and establishment of Alternate Range Criteria 447. Proposed abolishment of the Finance Program Evaluator deep class, and proposed abolishment of Alternate Range Criteria 400.

**SUMMARY OF ISSUES:**

The Department of Finance (DOF) is proposing to re-title and revise the Finance Program Evaluator series specification. The class titles are being revised to better describe the duties of the positions and the series specification is being revised as a result of updated information gained through the completion of a job analysis in January 2006. The findings revealed that the current "Knowledge, Skills, and Abilities" requirements for the class series are insufficient to encompass the rapid changes in the audit profession and increased expectations. Further, there has been an expansion in the focus of the Office of State Audits and Evaluations role with respect to the type of audits conducted. DOF is also proposing (1) to revise the Education Requirement for ALL LEVELS to clarify that the college degree must be from an accredited institution; (2) an increase (to enhance selection purposes) in the length of experience (from one year to eighteen months) required for promotion (Pattern I) to the full journey person level (proposed Financial and Performance Evaluator II, DOF); (3) to establish a new entry level (with a deep class concept) titled Financial and Performance Evaluator I, Department of Finance, within the Financial and Performance Evaluator class series, and reallocation of impacted incumbents to the new deep class; and (4) to establish Alternate Range Criteria 447. The Finance Program Evaluator deep class and Alternate Range Criteria 400 are also being proposed for abolishment.

**CONSULTED WITH:**

Barbara Hudson, Department of Personnel Administration  
Josie Fernandez, Department of Personnel Administration  
Jennifer Roche, State Personnel Board  
Diana Ducay, Chief Office of State Audits and Evaluations, DOF

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**BACKGROUND AND CONSIDERATIONS:**

See attached proposal.

**RECOMMENDATIONS:**

Recommendations:

1. That the class of Financial and Performance Evaluator I, Department of Finance be established; the proposed specification for the class appearing in the Financial and Performance Evaluator series specification show in this calendar be adopted; and the probationary period be 12 months.
2. That titles of the following classes be changed as indicated; and the proposed revised specification for these classes appearing in the Financial and Performance Evaluator series specification shown in this calendar be adopted:

From	To
Associate Finance Program Evaluator	Financial and Performance Evaluator II, Department of Finance
Staff Finance Program Evaluator	Financial and Performance Evaluator III, Department of Finance
Senior Finance Program Evaluator	Supervisor – Financial and Performance Evaluator, Department of Finance
Supervising Finance Program Evaluator	Manager – Financial and Performance Evaluator, Department of Finance

3. That the proposed Alternate Range Criteria 447 for the class of Financial and Performance Evaluator I, Department of Finance as shown below be adopted:

When the requirements of the particular criteria are met and upon recommendation of the appointing power, the employee shall receive a rate under the provision of DPA Rule 599.676.

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Range A. This range shall apply to incumbents who do not meet the criteria for payment in Range B.

Range B. This range shall apply to persons who have satisfactorily completed either (1) the equivalent of six months of Financial and Performance Evaluator I, Department of Finance, Range A; or (2) two years of increasingly responsible professional experience in accounting, and/or auditing which shall have included the preparation of reports and the presentation of recommendations to management, and completion of a minimum of 9 semester units in accounting (excluding accounting courses in tax real estate, human resources, report writing, and marketing). These courses can be taken at either undergraduate or graduate levels.

4. That the following resolutions be adopted:

(a) WHEREAS the State Personnel Board on January 9, 2007 established the deep class with alternate range levels as indicated below in Column II, effective January 9, 2007, and the duties and responsibilities of the corresponding alternate range levels of the deep class were substantially included in the previously existing alternate ranges of the deep class as indicated in Column I, and

WHEREAS the knowledge and abilities required for the deep class alternate range levels indicated in Column II were substantially tested for in the examination held for the deep class listed in Column I; and therefore be it

RESOLVED, That any person with civil service status in the alternate range of the deep class indicated in Column I on January 9, 2007 shall be reallocated to the corresponding alternate range of the deep class as indicated in Column II and hereby granted the same civil service status in that deep class without further examination; and be it further

RESOLVED, That any existing employment lists other than reemployment lists established for the deep class indicated in Column I shall be used to certify to fill vacancies in the deep class indicated in Column II as directed by the Executive Officer of the State Personnel Board until such lists are abolished, exhausted, or superseded by lists for the deep class indicated in Column II and any persons on existing reemployment lists for the deep class in Column I shall also be placed on reemployment lists for the deep class in Column II until expiration of their eligibility on reemployment lists for the deep class in Column I.

**COLUMN I**

Finance Program Evaluator, Range A

**COLUMN II**

Financial and Performance  
Evaluator I, Department of Finance,  
Range A

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Finance Program Evaluator, Range B	Financial and Performance Evaluator I, Department of Finance, Range B
Finance Program Evaluator, Range C	Financial and Performance Evaluator I, Department of Finance, Range B

(b) WHEREAS Title 21, California Code of Regulations Section 431 states "Unless otherwise provided by resolution of the board, the maximum rate of the lowest salary range currently authorized for a class is used to make salary comparisons"; and

WHEREAS alternate ranges within the new class of Financial and Performance Evaluator I, Department of Finance are being established to replace those of the previously existing deep class of Finance Program Evaluator; and

WHEREAS placement in each alternate range of the class of Financial and Performance Evaluator I, Department of Finance represents recognition of a higher level of knowledge, skill, ability, experience, or eligibility which each appointee can acquire through experience in the class of Financial and Performance Evaluator I, Department of Finance or comparable or higher level classes; and

WHEREAS as the result of a permanent appointment to each alternate range, an appointee gains status in the range to which he/she is appointed as though each range is a separate class by qualifying for placement in that range through transfer, reinstatement, demotion, or satisfying the alternate range criteria: Therefore be it

RESOLVED, That salary Ranges A and B for the class of Financial and Performance Evaluator I, Department of Finance may be used individually as if each represents the salary range of a separate class to make salary comparisons for discretionary actions between the class of Financial and Performance Evaluator I, Department of Finance and other classes; and be it further

RESOLVED, That for the class of Financial and Performance Evaluator I, Department of Finance the maximum currently authorized for Range B of the class shall be the salary range used to make salary comparisons for mandatory actions.

5. That the following class be abolished January 9, 2007:

Finance Program Evaluator

6. That Alternate Range Criteria 400 be abolished January 9, 2007.

## PART B - CLASSIFICATION CONSIDERATIONS

### BACKGROUND

- (1) Provide some historical perspective about the organizational setting of the subject classes(es) and the needs that this request addresses.**

Finance Program Evaluator series consists of the following classes:

Finance Program Evaluator, Range A, B, C  
 Associate Finance Program Evaluator  
 Staff Finance Program Evaluator  
 Senior Finance Program Evaluator  
 Supervising Finance Program Evaluator

This classification series was established in 1999 when the Department reclassified the Program Review Analyst series.

This proposal abolishes the Finance Program Evaluator, Range A, B and C, and establishes the new class of Financial and Performance Evaluator I, Department of Finance, (FPE I), Range A and B. In addition, this proposal retitles the remaining classes in the series as follows:

Financial and Performance Evaluator II, Department of Finance, (FPE II)  
 Financial and Performance Evaluator III, Department of Finance (FPE III)  
 Supervisor – Financial and Performance Evaluator, Department of Finance.  
 (Supervisor - FPE)  
 Manager – Financial and Performance Evaluator, Department of Finance.  
 (Manager - FPE)

This series is used in the Department of Finance (Finance), Office of State Audits and Evaluations (OSAE) Unit. This classification series is available only for use in Finance.

The responsibilities of Finance's OSAE Unit encompass the Executive Branch audit function for the State of California. Numerous statutes require Finance to perform audits of various state funds and/or programs. This results in a wide variety of work being conducted, including audits of financial records, performance evaluations, information technology, internal control review, compliance audits, consulting, quality assurance and budgeting reviews. OSAE also performs review of instances of suspected fraud and special program reviews as requested by the Governor's Office, the Director of Finance, the Legislature, or other state agencies.

OSAE plays a key role in Finance's mission by supporting and assisting in supervising the state's financial and business policies, and in conserving the state's rights, interests, and resources through independent audits, objective evaluations, and other related services. OSAE's scope of work typically includes review of the:

- Reliability and integrity of financial and operating information, and the means used to identify, measure, classify, and report such information.

- Systems established to ensure compliance with those policies, plans, procedures, laws, and regulations that could significantly impact operations and output.
- Means of safeguarding assets.
- Economy and efficiency with which resources are acquired, protected, and employed.
- Operations and programs to determine whether results are consistent with established goals and objectives.
- Corrective actions taken by agency officials resulting from previous audit findings.

OSAE accomplishes these multifaceted objectives through employment of staff with diversified backgrounds, professional certifications, and technological know-how. OSAE staff must collectively possess a broad knowledge of all programs, operations, fiscal structures, budgeting systems, and information systems (in numerous state, local, and nonprofit entities) in order to effectively audit and evaluate billions of dollars in state funding annually. In addition to various statutorily-mandated audits, OSAE is proactive in taking the lead in identifying fraud, waste, and abuse, and in providing leadership, oversight, and guidance to the state's internal audit units. Through its oversight activities, OSAE identifies risks, selects programs for audit, and identifies opportunities to add value and make state government more efficient and effective. These critical functions help Finance accomplish its responsibility to conserve the state's rights, interests, and resources through independent audits, objective evaluations, and consulting services.

The work performed and reports issued by OSAE are used and relied upon by the Governor, the Cabinet, the Legislature, Legislative Analyst's Office, Agency Secretaries, other staff within Finance, and various federal and local agencies to make critical funding and programmatic decisions. In accordance with Government Auditing Standards, OSAE attests to the validity of audit findings, making the accuracy of its work even more critical. As such, erroneous findings, or improper or incorrectly prepared work can have significant adverse impacts on state government, agencies, or programs. Stakeholders have high expectations of Finance's completed audit and evaluation work, and OSAE consistently meets and exceeds these expectations. Moreover, many state agencies choose to contract with OSAE for services because of its broad expertise and experience in conducting independent audits, objective evaluations, and credibility among state decision-makers.

This classification proposal was developed as the result of updated information gained through the completion of a job analysis, a change in the number of accounting units required for admission to the Certified Public Accountant (CPA) exam, as well as an expansion in the focus of OSAE's role.

An exhaustive job analysis was recently completed for all the classifications in the current classification series. The findings revealed that the current "Knowledge, Skills, and Abilities" (KSAs) requirements are insufficient to encompass the rapid changes in the audit profession and increased expectations. For example, the information technology environment has changed, and fraud detection and prevention techniques have become more sophisticated. OSAE's core competencies and KSAs have lagged behind these changes and are in need of updating. There has also been a shift in how decision-makers use OSAE's resources. Historically, OSAE focused on traditional-type



audits. Clients now expect a more consultative and proactive approach to anticipating the state's problems, and OSAE is changing to meet these expectations.

In January 2002, the Board of Accountancy increased the minimum semester units necessary for admission to the CPA exam. Those admission requirements are codified in the California Code of Regulations, Title 16, Division 1, Article 2, Section 9.2, which now require a minimum of 24 semester units in accounting subjects. This change has made it extremely difficult to recruit and hire qualified individuals to fill our positions.

The importance of OSAE's role and responsibilities has increased dramatically over the past several years along with the exponential expansion in state government's complexity and size. The state environment is unusually dynamic, with new laws continuously enacted, regulations adopted, priorities shifted, policies changed, and organizations created or abolished. Recent corporate failures and improprieties by elected officials have resulted in increased public scrutiny and an even greater demand for professional audits to ensure public accountability. The new focus on accountability requires much more complex risk assessment methodologies, in-depth fraud detection, and information systems analysis to assess data reliability and integrity. An example is the work being performed for the State Teachers' Retirement System. This project includes assessments and compilations of retirement benefits for educational professionals. As the results are often the subject of litigation, a broad knowledge of the complex formulas used to calculate the benefits and the necessity of accurate work is essential.

## **CLASSIFICATION CONSIDERATIONS**

### **(2) What classification(s) does the subject class(es) report to?**

Incumbents in the classes of: (1) Financial and Performance Evaluator I, Department of Finance, Range A and B; (2) Financial Performance Evaluator II, Department of Finance and (3) Financial and Performance Evaluator III, Department of Finance report to Supervisor – Financial and Performance Evaluator, Department of Finance.

Incumbents in the class of Supervisor – Financial and Performance Evaluator, Department of Finance report to Manager – Financial and Performance Evaluator, Department of Finance.

Incumbents in the class of Manager – Financial and Performance Evaluator, Department of Finance report to the CEA 2 (Assistant Chief).

### **(3) Will the subject class(es) supervise? If so, what class(es)?**

The following classifications are supervisory:

Supervisor – Financial and Performance Evaluator, Department of Finance  
Manager – Financial Performance Evaluator, Department of Finance

See Part B (2) for classes supervised.

### **(4) What are the specific duties of the subject class(es)?**

Below are the proposed definitions of each level in the class series. An exhaustive job analysis was conducted with subject matter experts who were current and former incumbents in the classification series. The findings of the job analysis revealed that it's necessary to further distinguish between the Financial and Performance Evaluator II and III levels (FPE II and FPE III). For example, the Department of Finance is looked upon to provide non-routine audit and fiscal related evaluation and consultation services for the administration. Incumbents in the proposed FPE III class will be required develop expertise and serve as a resource to state agencies, departments and other executive level management in non-routine audit and fiscal related areas. Development of an expertise was not required of the current Staff Finance Program Evaluator classification. The FPE III must exercise a high degree of independence and proficiency, as well as, the initiative to perform the essential functions and tasks of the classification. Incumbents will assist in staff development and serve in a lead capacity. The FPE II must exercise independence and proficiency in performing the essential functions and tasks of the classification, which includes planning and acting in a lead capacity for larger more routine type audits. These functions were not major components of the Associate Finance Program Evaluator classification.

Financial and Performance Evaluator I, Department of Finance (FPE I)

This is the entry level in the series. Under supervision, incumbents assist in the planning, data gathering, analytical, and consultative duties associated with most assignments. Incumbents conclude and report as to the adequacy, completeness, and

accuracy of financial data and/or other work products. Incumbents may also independently perform smaller or less complex assignments and/or assist in the completion of a segment of a larger or more complex assignment.

#### Financial and Performance Evaluator II, Department of Finance (FPE II)

This is the full journey person level in the series requiring self-direction, independence and proficiency in handling complex, sensitive, and difficult assignments. Under direction, incumbents utilize a wide range of analytical skills in planning, gathering and analyzing information, drawing appropriate conclusions, and formulating recommendations. As lead, incumbents plan, direct and coordinate the work of assigned staff to produce high quality work products.

#### Financial and Performance Evaluator III, Department of Finance (FPE III)

This is the working specialist or super-journey person level. Under general direction, incumbents independently and proficiently handle the most complex, visible, and/or sensitive assignments. Incumbents in this series are typically specialists who have demonstrated strong analytical abilities and a comprehensive understanding of a broad range of financial and program issues, including standards and criteria issued by authoritative bodies. Specialists at this level develop expertise and serve as a resource in specific fiscal and program areas. Incumbents assist in staff development and serve in a lead capacity over lower-level staff.

#### Supervisor - Financial and Performance Evaluator, Department of Finance (Supervisor – FPE)

This is the supervisory level in the series. Under general direction, incumbents concurrently supervise multiple assignments and evaluation teams and coordinate all aspects of each assignment. Incumbents provide management advice and technical guidance to staff, top level administrators, and other interested parties.

#### Manager - Financial and Performance Evaluator, Department of Finance (Manager – FPE)

This is the managerial level in the series. Positions at this level manage a large staff, typically through subordinate supervisors. Incumbents, under general direction, plan, organize, coordinate, and direct multiple projects in one or more major governmental areas, and coordinate with departmental staff, various State, local, and Federal agencies, department directors, and major policy stakeholders. Incumbents ensure the consistent application of appropriate standards and policies.

### **(5) What is the decision-making responsibility of the subject class(es)?**

#### Financial and Performance Evaluator I, Department of Finance

1. Identify and recommend appropriate solutions for problems or deficiencies.
2. Prepare working papers to document work performed and to support conclusions, audit findings, and recommendations.

3. Prepare written reports and other written work products to communicate to all levels of staff, management, and clients.

#### Financial and Performance Evaluator II, Department of Finance

1. Apply appropriate standards, policies, concepts and principles to develop audit steps and procedures to complete a wide range of complex assignments.
2. Prepare high quality written products in a timely manner.
3. Act as mentor to provide technical guidance to new staff on work paper preparation office practices and policies, and work standards.
4. Perform initial review of workpapers and make recommendations to staff for improvement.

#### Financial and Performance Evaluator III, Department of Finance

1. Serve as a specialist and /or subject matter expert and provide technical guidance, assistance and training to staff, clients, and others.
2. Through technical expertise, gain the confidence of clients, peers and other individuals to effectively provide audit, consultation and evaluation services.
3. Plan, design, conduct and complete the most complex and/or sensitive assignments within scope and available resources.
4. Provide technical assistance with the development of proposed engagements.
5. Communicate with management, clients, peers and interested parties on assignment status and other information
6. Resolve client issues and concerns through effective communications and problem solving techniques.
7. Review and edit written work products of others to ensure accuracy, completeness and the scope and objectives of the assignment are met.
8. Plan, prepare, and conduct presentations in a clear, logical, and professional manner.

#### Supervisor - Financial and Performance Evaluator, Department of Finance

1. Develop and communicate assignment scope, objectives, and budget requirements to assigned staff.
2. Provide on-site field supervision and direction for assignments.
3. Provide technical guidance and assistance to staff, clients, and others.
4. Assist with maintaining client relations during the course of work.
5. Testify and/or defend work products before legislative committees, courts, clients, departmental staff, and other interested parties.
6. Assist with staffing assignments to meet administrative requirements.
7. Perform administrative functions such as employee attendance reporting; telework; overtime; travel itineraries, advances, and claims; reference checks; supervisor meeting facilitator and training requests
8. Calculate and monitor reimbursement and travel estimates for assigned projects.
9. Ensure the project management system is utilized to reflect current status of assignment such as timelines, budget data, project dates and event dates.
10. Maintain a work environment that is free of discrimination and harassment.

#### Manager - Financial and Performance Evaluator, Department of Finance

1. Plan, organize, coordinate, and direct multiple projects in one or more major governmental areas, and coordinate with internal department staff, various State, local, and Federal agencies, major policy groups, and clients to carry out the department's goals, mission, and strategic plan.
2. Apply appropriate standards, policies, procedures, laws, rules, and regulations consistently to carry out the department's goals, mission, and strategic plan.
3. Communicate the availability and value of OSAE services and develop projects and effectively foster new client relationships.
4. Prepare and monitor interagency agreements and manage reimbursements to balance resources against goals and priorities utilizing budget allotment, personnel allocation guidelines as needed or directed.
5. Review, analyze, and evaluate fiscal, program, and policy proposals to meet project objectives.
6. Ensure effective evaluating, monitoring, and provision of constructive feedback on employee performance.
7. Develop annual production and assignment plans to meet business needs.

**(6) What would be the consequences of error if incumbents in the subject class(es) did not perform their jobs? (Program problems, lost funding, public safety compromised, etc.)**

In accordance with its mission, the Department of Finance ensures the financial integrity of the State. Failure to perform independent audits, objective evaluations, and other related services will result in the Department of Finance having no assurances as to:

1. The reliability and integrity of information;
2. Compliance with policies, plans, procedures, laws and regulations;
3. The safeguarding of assets;
4. The economic and efficient use of resources;
5. The accomplishment of established objectives and goals for operations or programs.

Each level in the series plays a significant role in defining the scope of review, gathering and analyzing information, drawing sound conclusions, and communicating the results. The consequences of error at any level include:

- Loss of State resources through fraud, waste or abuse
- Loss of Federal finding
- Insufficient reimbursements
- Overpayment of expenditures
- Failure to identify and collect all moneys owed the state
- Misstated and/or fraudulent financial statements
- Operational inefficiencies
- Noncompliance with policies, plans, procedures, laws and regulations
- Failure to meet program goals or objectives

Because of the increase in the span of responsibility and in the complexity of issue involved, the magnitude of error increases with each level in the series.

**(7) What are the analytical requirements expected of incumbents in the subject class(es)?**

Incumbents in the series must have sufficient analytical skills to do the following:

- Review and analyze State and Federal laws and regulations
- Assess compliance with laws, regulations, policies, and procedures
- Review and analyze program data
- Review and analyze statistical data
- Review and analyze management controls
- Review and analyze accounting controls, accounting records and financial data
- Develop approaches and methodologies to meet assigned objectives
- Determine the best source(s) of evidence
- Develop and evaluate alternatives -
- Reason logically and creatively and use a variety of analytical techniques to resolve problems
- Formulate conclusions, opinions and appropriate recommendations

Incumbents in the **FPE II** class must exercise a high degree self-direction, and independence in decision making on sensitive and difficult assignments. They must also use a variety of analytical techniques', auditing principles, consulting and evaluating procedures to identify a wide range of issues and propose appropriate corrective actions. Incumbents in the **FPE I** class will be broadening these skills through on the job experiences.

Incumbents in the **FPE III** class must exercise a high degree of initiative, judgment, independence and leadership on all assignments. They must also acquire and develop skills in specific technical and complex subjects, analyze and research complex issues develop and evaluate alternatives make decisions, and recommend effective courses of action. Incumbents in the **FPE II** class will be broadening these skills through on the job experiences.

Incumbents in the **Supervisor - FPE** class should possess the analytical ability to properly direct and evaluate staff. Incumbents should also possess these skills to properly manage assignments and to communicate results to administrators and other interested parties, translating technical terms into every day language.

Incumbents in the **Manager - FPE** class should have the ability to review, analyze, and evaluate fiscal, program and policy proposals to meet project objectives. In addition, have the ability to ensure that appropriate standards, policies, procedures, laws, and regulations are consistently applied.

**(8) What are the purpose, type, and level of contacts incumbents in the subject class(es) make?**

FPE I and FPE II

To meet assigned objectives, incumbents gather relevant information. This includes interviews of all levels of personnel at agencies under review. The agency under review may be a state, federal or local agency or a private sector organization.

FPE III

In addition to the above FPE I and FPE II, the incumbents must communicate with management, clients, peers, and interested parties on assignment status and other information.

Supervisor - FPE

In addition to contacts made by FPE I, II, and III, the incumbent may also conduct entrance, exit, and briefing meetings with top level management. The incumbent may also testify and/or defend work products before legislative committees, courts, clients, departmental staff, or other interested parties.

Manager - FPE

In addition to the contacts made by the Supervisor, FPE, incumbents may make presentations to legislative or executive officials. Incumbents may also represent the Department of Finance at professional organizations and may be a guest speaker at conferences of such organizations.

**NEED FOR NEW CLASS****(9) For new classes only: what existing classes were considered and why were they not appropriate?**

The Department reviewed the existing class of Finance Program Evaluator. Based on that review, it was determined that the current minimum qualifications made it extremely difficult for the department to recruit and hire qualified individuals.



## MINIMUM QUALIFICATIONS

**(10) What are the proposed or current minimum qualifications of the subject class(es), and why are they appropriate? (Include inside and outside experience patterns.)**

Below are the proposed minimum qualifications for the subject classes. An exhaustive job analysis was conducted with subject matter experts who were current and former incumbents in the classification series. The findings of the job analysis revealed that the current minimum qualifications were insufficient to encompass the rapid changes in the audit profession and increased expectations as well as the need for experience and/or course work in accounting or auditing. This is reflective in the changes to the FPE II minimum qualifications. In addition, it was necessary for Finance to further distinguish the requirement that a four-year college degree be from an accredited institution.

The establishment of the minimum qualifications for the entry FPE I class is two-pronged. The first relates to the new Pattern I and the second to the new Pattern II. Pattern I requires 12 units of accounting course work, and Pattern II requires two years or increasingly responsible professional experience in accounting and/or auditing as well as 9 semester units in accounting. A review of OSAE's workload for the past five years has shown that over 90 percent of the assignments had a financial component. We believe this is the primary reason that the staff with little or no accounting coursework or work experience tended to struggle more than those with an accounting background.

The minimum qualifications in the remaining promotional classes were also updated to reflect the refinement of qualifying experience in the outside patterns to include only accounting or auditing experience. It was determined during the job analysis that the other types of outside experience did not provide the knowledge and abilities to perform the critical functions of the position. The unique assignments and special studies conducted by OSAE make - the need for accounting and/or auditing experience paramount.

The Department of Finance is proposing that Alternate Range Criteria 447 be established for the Financial and Performance Evaluator I, Department of Finance, Range A and B. (Incumbents will be appointed to Range A if they do not meet the Range B requirements). Movement to Range B will occur after six months of satisfactory experience in the California state service performing the duties of Financial and Performance Evaluator I, Department of Finance, Range A; or two years of increasingly responsible professional experience in accounting, and/or auditing which shall have included the preparation of reports and the presentation of recommendations to management, and completion of a minimum of 9 semester units in accounting (excluding accounting courses in tax real estate, human resources, report writing and marketing). These courses can be taken at either undergraduate or graduate levels. This is appropriate because the scope of work meets a single test of fitness for all alternate range levels and incumbents gain increased competence at each level in performing the duties based on experience and educational background.

## MINIMUM QUALIFICATIONS

## ALL LEVELS:

Education Requirement: A four-year college degree from an accredited institution. (Registration as a senior in a recognized institution will admit applicants to the examination, but they must produce evidence of graduation or its equivalent before they can be considered eligible for appointment.)

## FINANCIAL AND PERFORMANCE EVALUATOR I, DEPARTMENT OF FINANCE

Either I

An undergraduate or graduate degree from an accredited institution and completion of a minimum of 12 semester units in accounting (excluding accounting courses in tax, real estate, human resources, report writing, and marketing). These courses can be taken at either undergraduate or graduate levels.

Or II

Two years of increasingly responsible experience, which shall have included the preparation of reports and the presentation of recommendations to management and 9 semester units in accounting (excluding accounting courses in tax, real estate, human resources, report writing, and marketing). These courses can be taken at either undergraduate or graduate levels.

## FINANCIAL AND PERFORMANCE EVALUATOR II, DEPARTMENT OF FINANCE

Either I

Eighteen months of experience in the California state service performing the duties of a Financial and Performance Evaluator I, Department of Finance, Range B. (Applicants who have completed twelve months of service performing the duties as specified above will be admitted to the examination, but they must satisfactorily complete eighteen months of this experience before they can be eligible for appointment.)

Or II

Three years of increasingly responsible professional accounting, or auditing experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least 18 months, these responsibilities must have included duties at a level equivalent to a Financial and Performance Evaluator I, Department of Finance, Range B.

## FINANCIAL AND PERFORMANCE EVALUATOR III, DEPARTMENT OF FINANCE

Either I

One year of experience in the California state service performing the duties of a Financial and Performance Evaluator II, Department of Finance.

Or II

Four years of increasingly responsible professional accounting or auditing experience, which shall have included the preparation of reports and the presentation of

recommendations to management. For at least one year, these responsibilities must have included duties at a level equivalent to a Financial and Performance Evaluator II, Department of Finance.

SUPERVISOR - FINANCIAL AND PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Either I

One year of experience in the California state service performing the duties of a Financial and Performance Evaluator III, Department of Finance.

Or II

Two years of experience in the California state service performing the duties of a Financial and Performance Evaluator II, Department of Finance.

Or III

Five years of increasingly responsible professional accounting, or auditing experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least two years, these responsibilities must have included duties at a level equivalent to a Financial and Performance Evaluator II, Department of Finance. For at least one year, these responsibilities must have been in a supervisory capacity.

MANAGER - FINANCIAL AND PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Either I

One year of experience in the California state service performing the duties of Supervisor - Financial and Performance Evaluator, Department of Finance.

Or II

Two years of experience in the California state service performing the duties of a Financial and Performance Evaluator III, Department of Finance.

Or III

Five years of increasingly responsible professional accounting, or auditing experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least two years, these responsibilities must have been in a supervisory capacity.

**PROBATIONARY PERIOD**

- (11) If a probationary period other than six months is proposed, what is the rationale?**

The proposed probationary period for the new class of Financial and Performance Evaluator I, Department of Finance is 12 months. The 12-month probationary period is consistent with other classes in the series, and the specialized knowledge required.

**STATUS CONSIDERATIONS****(12) What is the impact on current incumbents?**

Only incumbents in the class Finance Program Evaluator, Range A, B and C will be impacted.

There will be a title change and specification revision to the Associate Finance Program Evaluator, Staff Finance Program Evaluator, Senior, Finance Program Evaluator, and Supervising Finance Program Evaluator. Incumbents will remain in their current class.

**(13) Will current employees move by examination, transfer, reallocation, slit-off, etc? Explain rationale.**

Employees in the class of FPE, Range A, B, and C will be reallocated to the new class of Financial and Performance Evaluator I, Department of Finance, Range A and B.

**CONSULTED WITH**

- (14) In addition to the departmental contacts listed on the cover sheet, list the names and affiliations of persons who were consulted during the development of this proposal.**

Barbara Hudson, Department of Personnel Administration

Josie Fernandez, Department of Personnel Administration

Jennifer Roche, State Personnel Board

Diana Ducay, Chief, Office of State Audits and Evaluations

Sue Botkin, Supervising Finance Program Evaluator, Office of State Audits and Evaluations

Adria L. Jones, Selection Services Manager, Department of Finance

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**CALIFORNIA STATE PERSONNEL BOARD**  
**SPECIFICATION**

~~FINANCE PROGRAM EVALUATOR~~ FINANCIAL AND PERFORMANCE EVALUATOR  
Series Specification  
(Established April 12, 1973)

SCOPE

This series specification describes five levels used within the Department of Finance to conduct audits, evaluations and special studies, and to report conclusions, findings, and recommendations for improvement of State and State-sponsored programs and organizations.

This series is available for use only in the California State Department of Finance. Entry into this series at the ~~Finance Program Evaluator~~ Financial and Performance Evaluator I level is typically from outside State service.

<u>Schem</u> <u>Code</u>	<u>Class</u> <u>Code</u>	<u>Class</u>
<del>LE68</del>	<del>5425</del>	<del>Finance Program Evaluator</del>
<del>LE69</del>	<del>5432</del>	<del>Financial and Performance Evaluator I, Department of Finance</del>
<del>LE66</del>	<del>5426</del>	<del>Associate Finance Program Evaluator Financial and Performance Evaluator II, Department of Finance</del>
<del>LE64</del>	<del>5427</del>	<del>Staff Finance Program Evaluator Financial and Performance Evaluator III, Department of Finance</del>
<del>LE62</del>	<del>5428</del>	<del>Senior Finance Program Evaluator Supervisor - Financial and Performance Evaluator, Department of Finance</del>
<del>LE60</del>	<del>5429</del>	<del>Supervising Finance Program Evaluator Manager - Financial and Performance Evaluator, Department of Finance</del>

DEFINITION OF SERIES

Positions in this series, in accordance with industry and government auditing standards, conduct financial audits, examine organizational operations and internal and management controls, review organizational policies and procedures, ~~conduct financial audits of entities subject to audit by the Department of Finance,~~ and evaluate governmental resource utilization, program effectiveness, and organizational and managerial performance. Incumbents gather and document relevant financial and program evidence; interview personnel at all levels of agencies involved; develop relevant information through statistical sampling and quantitative analysis performed manually or ~~by using various database and electronic spreadsheet software packages~~ through the use of computer assisted techniques; identify possible causes of agency problems; draw conclusions and develop feasible and cost-effective recommendations concerning identified weaknesses or problems based on an objective and independent evaluation of evidence; assess

compliance with relevant laws, regulations, and requirements; and prepare work papers to document work performed and to provide the basis for a written report. The work may require the application of various research methodologies including cost-effectiveness analysis, systems analysis, and other analytical techniques. Incumbents independently conduct quality control reviews of reports or other materials used in audits. Incumbents prepare and present audit-related information at meetings and conferences with the Department of Finance, audited entities, and other interested parties.

#### FACTORS AFFECTING POSITION ALLOCATION

Positions in this series are characterized by the scope and breadth of assignments; complexity, sensitivity, and variety of methodology utilized; independence of actions and decisions; consequence of error; degree of supervision received and/or exercised; and level and variety of professional contacts.

#### DEFINITION OF LEVELS\*

##### FINANCE PROGRAM EVALUATOR

~~This is the entry level in the series. Under supervision, incumbents assist in the planning, data gathering, analyzing, and reporting tasks associated with most assignments. Incumbents may also independently perform smaller or less complex assignments and/or assist in the completion of a segment of a larger or more complex assignment.~~

##### FINANCIAL AND PERFORMANCE EVALUATOR I, DEPARTMENT OF FINANCE

This is the entry level in the series. Under supervision, incumbents assist in the planning, data gathering, analytical, and consultative duties associated with most assignments. Incumbents conclude and report as to the adequacy, completeness, and accuracy of financial data and/or other work products. Incumbents may also independently perform smaller or less complex assignments and/or assist in the completion of a segment of a larger or more complex assignment.

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\* Additional information regarding functions performed, complexity factors, and scope of responsibility, is contained in a separate document titled "Allocation Guidelines."



ASSOCIATE FINANCE PROGRAM EVALUATOR FINANCIAL AND PERFORMANCE  
EVALUATOR II, DEPARTMENT OF FINANCE

This is the full journey person level in the series requiring self-direction, independence, and proficiency in handling complex, sensitive, and difficult assignments. Under direction, incumbents utilize a wide range of analytical skills in planning, gathering, and analyzing information, drawing appropriate conclusions, and formulating recommendations. ~~In addition, they provide assistance to lower level staff and may function in a lead capacity over a small group of evaluators.~~ As lead, incumbents plan, direct, and coordinate the work of assigned staff to produce high quality work products.

STAFF FINANCE PROGRAM EVALUATOR FINANCIAL AND PERFORMANCE EVALUATOR  
III, DEPARTMENT OF FINANCE

This is the working specialist or super-journey person level. ~~With minimal~~ Under general direction, incumbents independently and proficiently handle the most complex, visible, and/or sensitive assignments. Incumbents in this series are typically specialists who have demonstrated strong analytical abilities and a comprehensive understanding of a broad range of ~~management~~ financial and program issues, including standards and criteria issued by authoritative bodies. Specialists at this level ~~provide consultation on specific areas or program issues~~ develop expertise and serve as a resource in specific fiscal and program areas. Incumbents ~~also may~~ assist in staff development and ~~may~~ serve in a lead capacity over lower-level staff.

SENIOR FINANCE PROGRAM EVALUATOR SUPERVISOR - FINANCIAL AND  
PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

This is the supervisory level in the series. Under general direction, incumbents concurrently supervise ~~one or more~~ multiple assignments and evaluation teams and coordinate all aspects of each assignment. Incumbents provide management advice and technical guidance to staff, top level administrators, and other interested parties.

SUPERVISING FINANCE PROGRAM EVALUATOR MANAGER - FINANCIAL AND  
PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

This is the managerial level in the series. Positions at this level manage a large staff, typically through subordinate supervisors. ~~They~~ Incumbents, under general direction, plan, organize, coordinate, and direct multiple projects in one or more major governmental areas, and coordinate with departmental staff, various State, local, and Federal agencies, department directors, and major policy ~~groups~~ stakeholders. Incumbents ensure the consistent application of appropriate standards and policies.

MINIMUM QUALIFICATIONS

## ALL LEVELS:

Education Requirement: A four-year college degree from an accredited institution. (Registration as a senior in a recognized institution will admit applicants to the examination, but they must produce evidence of graduation or its equivalent before they can be considered eligible for appointment.)

~~Experience Requirement:~~ For competitors who wish to be given credit for outside experience, the four year college degree must be in either accounting, business administration, public administration, economics, mathematics, political science, law, accounting information systems, management information systems, or in a related field. Possession of an advanced degree (Master's or Doctorate Degree) in the aforementioned subjects may be substituted for the required experience on the basis of work at the master's level being equivalent to one year of experience and work at the doctoral level to two years of experience.

~~FINANCE PROGRAM EVALUATOR~~Either I

~~Eligibility to take the examination for Certified Public Accountant (CPA) as specified in the California Business and Professions Code, Section 5081.~~

Or II

~~Equivalent to (1) a Master's or Doctorate Degree in Business Administration, Accountancy, Business Administration, Public Policy, Public Administration, Political Science, Accounting Information Systems, or Management Information Systems; (2) an advance degree in a related field that is strong in quantitative analysis with at least ten semester units of course work in quantitative subjects such as statistics and economics; or (3) a graduate law degree and ten semester units of course work in quantitative subjects such as statistics or economics.~~

Or III

~~Two years of increasingly responsible (1) professional experience in accounting, auditing, management information systems, or related financial and/or performance consulting which shall have included the preparation of reports and the presentation of recommendations to management; or (2) primary research or graduate level training in business administration, public administration, accounting, mathematics, political science, economics, law, accounting information systems or management information systems.~~

FINANCIAL AND PERFORMANCE EVALUATOR I, DEPARTMENT OF FINANCEEither I

An undergraduate or graduate degree from an accredited institution and completion of a minimum of 12 semester units in accounting (excluding accounting courses in tax, real estate, human resources, report writing, and marketing). These courses can be taken at either undergraduate or graduate levels.

Or II

Two years of increasingly responsible professional experience in accounting or auditing experience, which shall have included the preparation of reports and the presentation of recommendations to management, and 9 semester units in accounting (excluding accounting courses in tax, real estate, human resources, report writing, and marketing). These courses can be taken at either undergraduate or graduate levels.

~~ASSOCIATE FINANCE PROGRAM EVALUATOR~~ FINANCIAL AND PERFORMANCE EVALUATOR II, DEPARTMENT OF FINANCE

Either I

~~One year~~ Eighteen months of experience in the California state service performing the duties of a ~~class at a level of responsibility at least equivalent to Finance Program Evaluator~~ Financial and Performance Evaluator I, Department of Finance, Range € B. (Applicants who have completed ~~six~~ twelve months of service performing the duties as specified above will be admitted to the examination, but they must satisfactorily complete ~~one year~~ eighteen months of this experience before they can be eligible for appointment.)

Or II

~~Three years of increasingly responsible professional accounting, or auditing, accounting information systems, management information systems, or related financial and/or performance consulting experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least one year~~ 18 months, these responsibilities must have included duties at a level equivalent to a Finance Program Evaluator Financial and Performance Evaluator I, Department of Finance, Range € B.

~~STAFF FINANCE PROGRAM EVALUATOR~~ FINANCIAL AND PERFORMANCE EVALUATOR III, DEPARTMENT OF FINANCE

Either I

~~One year of experience in the California state service performing the duties of a class at a level of responsibility at least equivalent to an Associate Finance Program Evaluator~~ a Financial and Performance Evaluator II, Department of Finance.

Or II

~~Four years of increasingly responsible professional accounting, or auditing, management information systems, accounting information systems, or related financial and/or performance consulting~~

experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least one year, these responsibilities must have included duties at a level equivalent to ~~an Associate Finance Program Evaluator~~ a Financial and Performance Evaluator II, Department of Finance.

SENIOR FINANCE PROGRAM EVALUATOR SUPERVISOR - FINANCIAL AND PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Either I

One year of experience in the California state service performing the duties of a ~~class at a level of responsibility at least equivalent to a Staff Finance Program Evaluator.~~ a Financial and Performance Evaluator III, Department of Finance.

Or II

Two years of experience in the California state service performing the duties of a ~~class at a level of responsibility at least equivalent to an Associate Finance Program Evaluator~~ Financial and Performance Evaluator II, Department of Finance.

Or III

Five years of increasingly responsible professional accounting, ~~or auditing, accounting information systems, management information systems, or related financial and/or performance consulting~~ experience, which shall have included the preparation of reports and the presentation of recommendations to management. For at least ~~one year~~ two years, these responsibilities must have included duties at a level equivalent to ~~an Associate Finance Program Evaluator~~ a Financial and Performance Evaluator II, Department of Finance. For at least one year, these responsibilities must have been in a supervisory capacity.

SUPERVISING FINANCE PROGRAM EVALUATOR MANAGER - FINANCIAL AND PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Either I

One year of experience in the California state service performing the duties of a ~~class at a level of responsibility at least equivalent to a Senior Finance Program Evaluator~~ Supervisor - Financial and Performance Evaluator, Department of Finance.

Or II

Two years of experience in the California state service performing the duties of a ~~class at a level of responsibility at least equivalent to a Staff Finance Program Evaluator.~~ For at least one year, these responsibilities must have been in a supervisory capacity Financial and Performance Evaluator III, Department of Finance.

Or III

Five years of increasingly responsible professional accounting, ~~or auditing, accounting information systems, management information systems, or related financial and/or performance consulting~~ experience, which shall have included the preparation of reports and

the presentation of recommendations to management. For at least two years, these responsibilities must have been in a supervisory capacity.

#### KNOWLEDGE AND ABILITIES

##### FINANCE PROGRAM EVALUATOR

~~Knowledge of: Principles and practices of organizational management; general accounting and auditing principles and procedures; elementary statistics.~~

~~Ability to: Learn and apply general and specialized accounting and management auditing principles and procedures as used in State Government; learn and apply standards of the auditing profession; review and analyze State and Federal laws and regulations, accounting records and controls, management and other related controls, and program data; conduct effective interviews with staff at all levels; conclude as to the adequacy, completeness, accuracy, and fairness of financial data and/or financial statements; prepare clear, complete, and concise work papers and reports to effectively communicate results of work; effectively incorporate the use of microcomputers in performing evaluations and investigative tasks; gain and maintain the confidence and cooperation of those contacted during the course of work.~~

##### FINANCIAL AND PERFORMANCE EVALUATOR I, DEPARTMENT OF FINANCE

Knowledge of: Within this classification, the incumbent is required upon entry to possess a basic knowledge of the following: Accounting principles; research, analytical, and evaluative techniques to obtain relevant information; problem solving techniques; verbal communication fundamentals to gather and convey required information; effective writing skills to convey relevant information; and word-processing and spreadsheet tools to prepare work products. By 12 months, the incumbent is required to possess the additional knowledge of: Auditing procedures, and general and governmental accounting principles and procedures to complete assignments.

Ability to: Learn general and governmental accounting and auditing principles and procedures; analyze, comprehend, and interpret policies, procedures, laws, regulations, and guidelines; manage time and multiple priorities effectively; work both in a team environment and individually; adapt/transition to changing assignments and/or situations as required; maintain confidentiality of information; verbally summarize a variety of facts, data, and recommendations to all levels of staff, management, and clients; prepare written products that are grammatically correct and convey relevant information; maintain professionalism and tact when interacting with colleagues, supervisors, and clients; comply with office policies and procedures and departmental core values; and effectively utilize word-processing and spreadsheet tools to prepare work products. By 12 months, the

incumbent is required to gain the additional abilities to: Clearly define objectives and develop appropriate approaches and methodologies; review and evaluate internal controls, accounting records, and program information; conclude as to the adequacy, completeness, and accuracy of financial data and/or other work products; organize and prepare work papers to create a clear, logical flow from the assignment objectives to the conclusions; prepare clear and concise written products; understand and follow directions; apply general and governmental accounting and auditing principles and procedures; and effectively conduct interviews, meetings, and presentations.

ASSOCIATE FINANCE PROGRAM EVALUATOR FINANCIAL AND PERFORMANCE EVALUATOR II, DEPARTMENT OF FINANCE

Knowledge of: All of the above, and current trends and problems in governmental management; functions, organizations, and practices of California Government; policy and organization theory and analysis; principles of electronic data processing; applications of probability sampling; cost effectiveness analysis; operations, procedures, and work standards of the office. Within this classification, the incumbent is required to possess a general knowledge of all the FPE I knowledge, in addition to the following: General standards and criteria issued by the AICPA, GAO, COSO, COBIT, IIA, and other authoritative bodies on financial matters; general consulting and evaluation procedures and standards to effectively complete a wide variety of complex assignments; operations, fiscal structures, and functions of Federal, State, and local government, nonprofit entities and a wide variety of industries to perform work assignments; California government operations, Uniform Codes Manual, State Administrative Manual, State Contracting Manual, CALSTARS, budget process, and other regulations, to effectively perform work assignments; basic group leadership and team building techniques to effectively lead assigned staff; and office administrative standards, procedures, core values, and policies to complete high quality work products.

Ability to: Apply the required knowledge; make investigations of accounting and financial organization procedures and problems; clearly define objectives and develop approaches and methodologies to meet those objectives; identify controversial or sensitive issues affecting the assignment; reason logically and creatively and use a variety of analytical techniques to resolve problems; develop and evaluate alternatives, make decisions and take appropriate action; act as a team leader. Requires all of the FPE I abilities, in addition to: Use a variety of analytical techniques, auditing principles, consulting, and evaluating procedures to identify a wide range of issues and propose appropriate corrective actions; exercise a high degree of self-direction and independence in decision-making on sensitive and difficult assignments; reason logically and creatively to effectively complete difficult assignments on short notice; assume progressively greater responsibilities; exercise tact and good interpersonal skills; plan, direct, and coordinate the work of

assigned staff to produce high quality work products; perform initial review of work papers and provide constructive feedback to assigned staff; participate in office committees and special task forces to review existing internal policies and provide recommendation to management for improvement; participate in the recruiting and examination processes to hire and promote staff.

STAFF FINANCE PROGRAM EVALUATOR FINANCIAL AND PERFORMANCE EVALUATOR  
III, DEPARTMENT OF FINANCE

Knowledge of: All of the above, and the operation and reporting of other State and Federal control agencies; principles of data processing systems design, programming, operations, controls, and evaluation; primary research and scientific methods; program budgeting; and formal and informal aspects of the legislative process. Within this classification, the incumbent is required to possess an advanced knowledge of all the FPE I and II knowledge, in addition to the following: Broad range of analytical and evaluative techniques to research and evaluate complex and sensitive assignments; project management skills and techniques to coordinate work assignments; and leadership and coaching principles and practices to develop staff. By 12 Months, the incumbent is required to develop expertise in a specified subject matter and/or specialty.

Ability to: Apply the required knowledge; establish and maintain assignment priorities; complete comprehensive investigations of accounting, financial, and business organization procedures and recommend solutions to problems and issues; analyze complex problems and recommend effective courses of action; consult with and advise administrators and other interested parties on a variety of subject-matter areas. Requires all of the FPE I and II abilities, in addition to: Exercise a high degree of initiative, judgment, independence, responsibility, and leadership on all assignments; acquire and develop skills in specific technical and complex subjects; plan, manage, and complete the work of specialized, complex, sensitive, and/or open-ended assignments efficiently, effectively, and timely; analyze and research complex issues, develop and evaluate alternatives, make decisions, and recommend effective courses of action; identify risks and deficiencies in various industries and programmatic/technical areas, and determine cost-effective solutions; develop and recommend changes in assignment scope based on ongoing evaluation; obtain, interpret, and apply relevant and authoritative criteria as necessary; learn and apply concepts, terminology, and analytical techniques for a specified industry and/or work assignment; effectively review and edit written work products; communicate in a logical, clear, concise, persuasive, and professional manner during complex, contentious, and/or sensitive situations; effectively train and provide specialized subject-matter guidance and constructive feedback to staff, clients,

and others; participate in office committees and sub-committees to effectively develop policies and procedures and provide recommendations to management.

SENIOR FINANCE PROGRAM EVALUATOR SUPERVISOR - FINANCIAL AND PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Knowledge of: All of the above, and group leadership techniques; program planning, development and evaluation; principles and practices of employee supervision, development, and training; principles and practices of project management and coordination; applications of organizational and management theory; a supervisor's responsibility for promoting equal opportunity in hiring and employee development and promotion, and for maintaining a work environment that is free of discrimination and harassment. Within this classification, the incumbent is required to possess an extensive knowledge of all the FPE I, II, and III, knowledge, in addition to the following: Principles and practices of employee supervision, development, and training; principles and practices of project management and coordination of work assignments; a supervisor's responsibility for promoting equal opportunity in hiring, employee development, and promotion; and maintaining a work environment that is free of discrimination and harassment; and teambuilding and coaching techniques to improve the work environment and to increase productivity, as needed.

Ability to: Apply the required knowledge; plan, organize, and direct the work of a staff engaged in a variety of complex, technical, management, operational, financial, and program audits and/or reviews; manage a complex research program comprising a number of research projects; work effectively with top level managers of State agencies and other organizations; coordinate, prepare, review, and edit written reports; establish and maintain project priorities; assess staff performance and develop the skills and abilities of subordinate staff; and effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment. Requires all of the FPE I, II and III abilities, in addition to: Plan, organize, and direct the work of staff engaged in a variety of assignments; effectively allocate resources and monitor assignment progress; effectively assign, review, and edit written work products, reports, and correspondence; work effectively with clients, top-level managers, and executives of State and other organizations; gain and maintain the confidence of others to promote staff morale and improve working relationships with staff, clients, and others; effectively assess staff skills and abilities; maintain flexibility with changing assignments and priorities, maintain a work environment that is free from discrimination and harassment, and promote equal opportunity in hiring, employee development, and employee advancement; and support and enforce established office policies and procedures, ethical behavior, and DOF core values.



SUPERVISING FINANCE PROGRAM EVALUATOR MANAGER - FINANCIAL AND  
PERFORMANCE EVALUATOR, DEPARTMENT OF FINANCE

Knowledge of: All of the above, and the organization and practices of the Legislature and Executive Branch; principles, practices, and trends of public administration, organization, and management; techniques of organizing and motivating groups; methods of administrative problem solving; a manager's responsibility for promoting equal opportunity in hiring and employee development and promotion, and for maintaining a work environment that is free of discrimination and harassment. Within this classification, the incumbent is required to possess an extensive knowledge of all the FPE I, II, III, and Supervisor knowledge in addition to the following: Fiscal structure and practices of Federal, State, and local government, and nonprofit entities to effectively carry out the department's goals, mission, and strategic plan; principles, practices, and emerging issues of auditing, evaluating, consulting public administration, organization, and management in order to maintain and improve the organization; techniques of organizing and motivating groups to promote staff morale and improve working environment; principles and practices of personnel management to effectively solve problems to maintain the operation; a manager's responsibility for promoting equal opportunity in hiring and employee development and promotion, and for maintaining a work environment that is free of discrimination and harassment; project management techniques in order to effectively manage projects to successful conclusion; and principles of effective verbal, written, and group communication to accurately and effectively to convey job related information.

Ability to: Apply the required knowledge; plan; organize, and direct the work of multidisciplinary professional staff engaged in a variety of complex assignments; appear and make presentations before legislative and other groups; develop cooperative working relationships with representatives of all levels of government, the public, and the Legislative and Executive Branches; prepare, review, edit, and defend reports; identify the need for and effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment. Requires all of the FPE I, II, and III and Supervisor abilities, in addition to: Plan, organize, and direct the work of professional and technical staff engaged in a variety of complex assignments; appear and make presentations before legislative and other groups; develop and foster cooperative working relationships with representatives of all levels of government, the public, and clients; review, edit, and defend work products; identify the need for and effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment; effectively communicate the availability and value of OSAE services and develop projects; effectively prepare and monitor interagency agreements and manage reimbursements; review, analyze, and evaluate fiscal, program, and policy proposals; actively manage/participate in specific administrative and professional development functions, such as Quality Control, Training, Recruitment, and CPA Committees; IIA, AGA, and

Board of Accountancy; communicate OSAE's and the Department's core values, goals, and mission; develop annual production and assignment plans; and resolve interpersonal conflicts with staff and clients.

#### SPECIAL PERSONAL REQUIREMENTS

ALL LEVELS:

~~Ability to qualify for a fidelity bond; Willingness to travel to worksites away from headquarters which could require extended hours of work and/or overnight or multiple-day trips on a continuous basis; respond to changes in the work unit or on the work crew in a positive, professional manner and work away from the headquarters office and work long and irregular hours; demonstrated ability to act independently; open-mindedness; flexibility; and tact.~~

#### ADDITIONAL DESIRABLE QUALIFICATIONS

ALL LEVELS:

Ability to use ~~word processing and spreadsheet~~ database software.

#### CLASS HISTORY

<u>Class</u>	<u>Date Established</u>	<u>Date Revised</u>	<u>Title Changed</u>
<del>Finance Program Evaluator</del>	4/12/73	1/5/99	1/5/99
<del>Financial and Performance Evaluator I, Department of Finance</del>		--	--
<del>Associate Finance Program Evaluator Financial and Performance Evaluator II, Department of Finance</del>	4/12/73	1/5/99	1/5/99
<del>Staff Finance Program Evaluator Financial and Performance Evaluator III, Department of Finance</del>	4/12/73	1/5/99	1/5/99
<del>Senior Finance Program Evaluator Supervisor - Financial and Performance Evaluator, Department of Finance</del>	4/12/73	1/5/99	1/5/99
<del>Supervising Finance Program Evaluator Manager - Financial and Performance Evaluator, Department of Finance</del>	4/12/73	1/5/99	1/5/99

ccd/sks